CONTRACTOR'S GUIDE

TO CALTRANS STATEWIDE STANDARD AGREEMENT

43A0012

1998/2000

HAZARDOUS WASTE
SITE ASSESSMENT,
INVESTIGATIONS AND SURVEYS

February 17, 1999

Table of Contents

I. INTRODUCTION

These instructions are for Standard Agreement 43A0012 (contract) and associated task orders for hazardous waste assessments, investigations and surveys.

II. THE CONTRACT

The contract is a blanket master standard agreement and does not become activated until a task order is written by the Contract Manager, accepted by the Contractor, and approved and funded by the Contract Administrator. There are nine Contractors under this standard agreement (Appendix A).

The task order describes project-specific work scope and states the maximum amount of funds that may be expended. Scope changes and funding ceilings may be changed when the Contract Manager receives written approval from the Contract Administrator pursuant to a task order supplement or adjustment.

The Contract Manager will only approve invoices for services rendered by the Contractor and authorized subcontractors and specialists.

A. Contract Duration

The contract is in effect from September 1, 1998 through December 31, 2000. All work on a task order must be completed prior to December 31, 2000. Invoices may be submitted for payment until June 30, 2001.

B. Contract Administrator

The Contract Administrator is Steve Dondero, Noise, Air and Hazardous Waste Management Office, P.O. Box 942874, MS-27, Sacramento, Ca 94274-0001; voice 916-653-8117, fax 916-653-5927; e-mail steve_dondero@dot.ca.gov.

C. Contract Manager

The Contract Manager is the primary point-of-contact for the Contractor. A representative of the District Hazardous Waste Unit is normally the Contract Manager for a specific district task order for Project Development work. A representative of the District Maintenance Unit is normally the Contract Manager for task orders under the jurisdiction of Maintenance. See Appendix B for a list of potential Contract Managers.

D. Suspension From The Contract

The Contract Administrator may suspend a Contractor from the contract for one or more the following reasons:

- Not meeting task order schedules
- Substandard technical work
- General performance
- Refusal to accept task orders
- Failure to maintain proof of insurance

Refer to contract Article III. F. for further information.

E. Proof on Insurance

A valid, current copy of OBM Form 367 shall be on file with the Contract Administrator at all times during the term of this contract. A Contractor will be suspended from the contract if their insurance documentation expires. Refer to contract Article XVIII. Proof of insurance is no longer required with each task order.

F. Monthly Tracking Reports

The Contractor is required to submit a Monthly Tracking Report (MTR) (Appendix C) throughout the life of the contract. Expenditures under each Expenditure Authorization (EA), each task order, and a cumulative expenditure total shall be provided. The MTR shall be faxed (916-653-5927) to the Contract Administrator no later than the seventh calendar day of each month, and shall cover cumulative expenditures through the last day of the previous month. Failure to submit the tracking report on time may result in cancellation of ongoing task orders and removing the Contractor from consideration of additional work under the contract.

III. THE TASK ORDER

An approved, executed task order is an extension of the contract, and all provisions of the contract apply whether stated or not in the task order.

The Task Order is **not** valid without a Task Order Control Sheet signed by the Contract Administrator.

Task orders are awarded to the contractor with the lowest bid price for the work anticipated, as identified by the Contract Manager and calculated using the Bid Cost System (BCS). See Appendix D for a step-by-step outline of the process. Additional guidance in provided below.

A. Types of Task Orders

There are three general types of work that may be performed under this contract.

1) Initial Site Assessment (ISA). The ISA involves research and fieldwork to identify known and potential hazardous waste/materials sites associated with properties owned or to be acquired by Caltrans. The historic research bid item is used for in-depth studies of past land uses that may have contributed to present hazardous waste problems. Historic research must be undertaken by staff with a minimum of a Master's degree in History.

2) Site Investigation (SI). The SI task order varies depending on the scale of the project that may be affected by the site, project features in the area of contamination, and project schedule, as well as by the expected nature and extent of the contamination. The majority of task orders under this contract will be SIs.

SI task orders use the contract bid items whenever the work performed is listed as one of the contract bid items. Work not covered by a bid item is considered "extra work".

SIs normally include location maps or specific parcel maps. The location of known underground utilities in the project area are usually included when subsurface exploration is required. The Contractor shall comply with California Government Code section 4217 (See Special Provision 16 of the contract).

3) Survey. Survey task orders are used primarily to test for asbestos in structures and to sample drums/containers on Caltrans owned properties.

B. Task Order Scoping

The task order is not fully executed or legally binding during the scoping process.

1. Identifying the Low Bid Contractor

The Contract Manager uses a spreadsheet (Bid Cost System, aka BCS) to calculate the cost of a particular task order. When (any) extra work is anticipated to be less than 50% of the total cost of the task order, the low bid is calculated on the contract bid items only. If Caltrans determines that extra work will be 50% percent or more of the total cost of the task order, the extra work will be offered to all Contractors (within the geographic region) for bid on a unit price basis. The Contractor with the lowest total cost of bid item and extra work is offered that task order.

2. Initial Contact by the Contract Manager

Initial contact by the Contract Manager affords the Contractor an opportunity to review the task order. The Contractor may suggest modifications to the work scope at this time (e.g., bid items and quantities). All scope changes must be agreed upon by the Contractor and Contract Manager. Note that changes in the number and types of bid items will require a revision of the budget and recalculation of the BCS. This may result in the identification of a different low-bid Contractor for the task order.

If the Contractor and Contract Manager cannot agree on the scope of work, the Contract Manager will proceed to the next lowest bidder.

3. Extra Work

Services not included as a contract bid item are considered extra work. A written bid quote from the Contractor is required for all extra work. Typically, the written quote is included in the cover letter transmitting the Acceptance/Refusal Document (ARD) to the Contract Manager.

The most common extra work item is the disposal of hazardous and non-hazardous soil, groundwater and other wastes resulting from an investigation. Drum disposal costs are based on the assumption that the materials are "non-hazardous", unless there is analytical data that indicates that the waste is hazardous. Drums shall be disposed of within 21 days of laboratory chemical analysis results (See contract Special Provision 8).

C. Accepting the Task Order

To accept a task order, submit the following documents to the Contract Manager:

- A signed Acceptance/Refusal document (ARD)
- A list of subcontractors to be used (form to be provided by Contract Manager)
- A transmittal letter signed by the Contractor's Project Manager, accepting the task order, stating any bid quote on extra work, and transmitting the ARD.

1. Acceptance/Refusal Document (ARD)

When the low-bid Contractor and Contract Manger agree on the scope of work, the Contract Manager will send the contractor an Acceptance/Refusal Document (ARD) (Appendix E) for signature. The task order cover letter will state the date/time when the signed ARD must be received by the Contract Manager. Typically, the turn-around time is five days; on a fast-track project, the response time may be 24 hours or less.

If a Contractor does not respond within the required time limit or refuses the task order, the Contract Manager will offer the task order to the Contractor with the next-lowest bid. This process continues until a Contractor agrees to perform the work in the task order.

2. Identifying Your Subcontractors

The Contract Manager will provide the Contractor with a current list of approved subcontractors. The list of subcontractors is based on those approved in the contractor's original bid, plus any subsequent additions that may have been approved by the Contract Administrator. Check-off those subcontractors to be used for the task order and return the list to the Contract Manager.

3. Adding a New Subcontractor

The Contractor may petition the Contract Administrator to amend the list of approved subcontractors under unusual circumstances:

- Failure of a subcontractor to execute a written contract with the prime Contractor after having a reasonable opportunity to do so.
- Subcontractor is bankrupt or insolvent.
- Failure to perform the subcontracted service or furnish equipment/materials.
- Failure or refusal to meet bond requirements, if a bond was a condition of the subcontract.
- Unsatisfactory work which is not in substantial accordance with the requirements of the contract or delaying or disrupting the progress of work.
- Substitution would be in the best interests of the State.

Adding a subcontractor must not compromise the DBE goals in the original bid package. The Contractor will be notified in writing of the Contract Administrator's decision. If the petition is granted, the subcontractor list will be amended.

No change in bid costs will be allowed when adding or substituting subcontractors. Payment will be denied for any work performed by an unapproved subcontractor or specialist. Any subcontract as a result of this contract shall contain all the provisions stipulated in this contract.

Appendix F contains the procedures and forms required to add a new subcontractor to your team.

4. Adding a Specialist

When a special service or an item of extra work cannot be performed by the Contractor or any subcontractors, such service or extra work item may be performed by a specialist. Subcontractors typically do bid item work; specialists perform work that is not bid item related. Specialists must be approved by the Contract Manager before the extra work is performed.

D. Task Order Execution

The task order is executed when:

- The Contractor has accepted the task order work scope via the ARD and associated documentation;
- The Contract Manager has assembled the appropriate documentation; <u>and</u>
- <u>The Contract Administrator authorizes the encumbrance of funds, as evidenced by a fully executed Task Order Control Sheet</u>.

After funds are encumbered, the task order becomes a fully approved legally binding document activating the provisions of the contract.

A copy of the executed Task Order Control Sheet (TOCS) will be supplied to the Contractor by the Contract Manager. The TOCS documents the total funds available to complete the work, expenditure authorizations (EAs) for billing purposes, and any fund splits for each EA.

E. Reporting Requirements

1. Technical Reports

Typically, five copies of the draft final report are submitted to the Contract Manager for evaluation and comments. Five copies of the final report are submitted to the Contract Manager for distribution. In response to any comments on the draft report, include in the final report an annotated list of comments stating where any changes were made, or describing how comments were otherwise addressed.

Article XXVII, Part 4 of the contract provides detailed descriptions of reporting requirements. Any additional specific requirements for the task order report that are not required as part of the standard report will be described in the task order. These include such things as unusual format (e.g. separate report for each Expenditure Authorization [EA]), specific requirements for table and figure content or layout, and/or discussions of particular issues. Any standard report requirements that are not necessary will also be stated in the task order.

The title page of all reports shall contain the following information (example format):

Site Investigation Report

03-PLA 89-K.P. 3.5

Near Tahoe City, California

Prepared for

California Department of Transportation

District 3

Marysville, California

Task Order No. 03-937640-CR

Contract No. 43A0012

March 30, 1999

The task order will state whether the report will be paid by percentage (the norm) or by hours. When the report will be paid by hours, the number of hours for each level of personnel specifically dedicated to report writing must be stated in the task order.

The disposition of any wastes from the investigation are also documented in the final report by including copies of manifests for hazardous waste disposal, copies of receipts from landfills, or describing where the non-hazardous material was placed.

2. Monthly Progress Reports

Monthly progress reports are required for work three months or longer in duration. Progress reports must include a brief description of the work during the period and project diaries or daily work logs (See Special Provision 9 of the contract).

F. Right of Entry

The task order should identify any access requirements/restrictions to the property to be investigated (e.g., voluntary right of entry, court order, or state-owned property) so that the Contractor will be aware of the rights of the owner or lessee.

G. Completion Schedule

A preliminary completion schedule is included in the task order to advise the Contractor of time constraints, key elements and delivery dates. A final completion schedule is developed and agreed upon after prior to awarding the task order. A pre-work site visit or conference may be held with the Contract Manager to finalize the schedule. See Appendix G for an example of a completion schedule.

Liquidated damages penalties will be assigned for failure to meet key schedule milestones or deliverables (e.g., the final report).

H. Regulatory Agency Contact

The Contract Manager is responsible for any contact with regulatory agencies concerning the task order. Any contact between regulatory agencies and the Contractor must have prior approval from the Contract Manager; any such contacts shall be documented. The Contractor shall not meet with regulatory agency personnel regarding the task order unless the Contract Manager is present.

IV. SUPPLEMENTAL TASK ORDER

A supplement must be executed if additional funds are needed to complete the task order. The Contract Manager must approve ALL cost or quantity increases. The Contractor shall not proceed with work beyond that described in the task order without the written authorization of the Contract Manager.

V. COORDINATION

The Contractor must adhere to the task order work scope and the terms of the contract. Caltrans may terminate a task order at any point for cause and approve payment for only that portion of work completed.

A. Task Order Pre-Work Conference/Site Visit)

Typically within two working days of task order execution, the Contractor and Contract Manager meet at the job site the site. The Contract Manager and the Contractor should complete the pre-work site visit checklist (Appendix G) and finalize the completion schedule (Appendix H) at this time. If necessary, a pre-work conference may be conducted prior to the site visit. These meetings are important opportunities to clarify any site specific or project specific issues, to obtain additional input from the Contractor regarding alternative strategies or methodologies and to agree on a course of action for the task order work. The Contractor should present any alternative cost effective investigative techniques that are acceptable to the regulatory agencies. This is the Contractor's opportunity to ask questions and clarify their role.

B. Notice to Proceed with Investigative Work

The Contractor may not begin investigative work until the 'Notice to Proceed With Investigative Work' is issued (Appendix I). The notice will not be sent to the Contractor until the pre-work conference is completed, any issues raised at the conference resolved, and a final task order approved. If verbal approval to proceed is given by the Contract Manager, it must be followed with a written 'Notice to Proceed With Investigative Work' to allow for documentation in the files.

C. Task Order Scope Changes

The Contractor may not deviate from the terms the task order work scope without the written approval of the Contract Manager. For task orders with multiple expenditure authorizations (EAs), the Contractor is responsible for tracking work by EA. If the changes authorized will result in exceeding the funds encumbered for the task order, a supplemental task order must be executed.

VI. INVOICES

Invoices are normally submitted monthly, in arrears, to the Contract Manager. To simplify paperwork, Contractor's are encouraged to submit a single invoice for all services.

Invoices that do not contain the required information will be returned the Contractor. Refer to Appendix J for detailed invoice requirements.

If there are multiple expenditure authorizations (EAs) for a task order, the invoice must be itemized by EA, or separate invoices should be submitted for each EA.

If there are any errors or discrepancies in the invoice, an Invoice Dispute Notification will be sent to the Contractor. This notification will put a hold on the invoice payment and inform the Contractor of the problems to be corrected. The entire invoice may be disputed or part of the invoice may be disputed with the remainder approved for payment.

The Contractor must submit the following items to the Contract Manager in order for the payment to be processed.

- 1 original and 3 copies of the invoice
- 3 copies of the monthly progress report, if applicable
- 3 copies of all extra work invoices

A. Progress Invoices

Progress invoices may be submitted on task orders of three months or more in duration (including report preparation time). Progress invoices may not be submitted more frequently than monthly in arrears or at clearly identifiable stages of progress, based upon written progress reports and the task order schedule.

B. Retention

There is no retention for this contract.

APPENDIX A - CONTRACTORS

<u>43A0012-A</u>

GEOCON Environmental Consultants, Inc.
John E. Juhrend, PE, CEG
Regional Manager
11375 Sunrise Park Drive, Suite 100
Rancho Cordova, CA 95742
916-852-9118 (voice during business hours)
916-852-9132 (fax)

<u>43A0012-B</u>

Alisto Engineering Group
Al Sevilla, PE
Principal
1575 Treat Boulevard, Suite 201
Walnut Creek, CA 94598
510-295-1650 (voice during business hours)
510-295-1823 (fax)

<u>43A0012-C</u>

Professional Services Industries (PSI)
Michael Mooradian, R.E.A., Principal-in-Charge
Frank Poss, R.E.A., Project Manager
PSI – Northern Region
1320 West Winton Avenue
Hayward, CA 94545
510-785-1111 (voice during business hours)
510-785-1192 (fax)
PSI – Southern Region
3960 Gilman Street
Long Beach, CA 90815
562-597-3977 (voice during business hours)
562-597-8459 (fax)

<u>43A0012-D</u>

Apex Environmental Drilling/ENV America (joint)
David Arrone, R.E.A., President/Sean Shahin, President
15661 Producer Lane, Suite N
Huntington Beach, CA 92649
800-917-2739 (voice)
714-890-6555 (fax)

<u>43A0012-E</u>

Ninyo and Moore
Geotechnical and Environmental Sciences Consultants

Steve C. Geyer, P.E., Principal Engineer
Stephan A. Beck, C.E.G., H.G., Manager, Environmental Sciences Division
5710 Ruffin Road
San Diego, CA 92123
619-576-1000 (voice during business hours)
619-576-9600 (fax)

43A0012-F

Tetra Tech
George Dayhuff, Director
670 N. Rosemead Blvd.
Pasadena, CA 91107
626-351-4664 (voice during business hours)
626-351-5291 (fax)

43A0012-G

Clayton Environmental Consultants
Dave J. Leu, Ph.D.
Senior Vice President, Southwestern Regional Director
3611 South Harbor Boulevard, Suite 260
Santa Ana, CA 92704
714-431-4100 (voice during business hours)
714-825-0685 (fax)

43A0012-H

IT Corporation
Gerhard E. Locke
General Manager
11316 Sunrise Gold Circle, Suite N
Rancho Cordova, CA 95742
916-858-1712 (voice during business hours)
916-858-0605 (fax)

43A0012-I

Subsurface Consultants
Terence J. McManus
Vice President
3726 Mt. Diablo Blvd., Suite 200
Lafayette, CA 94549
925-299-7960 (voice during business hours)
925-299-7970 (fax)

Appendix B - Senior District Hazardous Waste Staff

DISTRICT	NAME	PHONE
District 1,2,3	**Steve Werner**	707-441-5844
District 4	**Allan Baradar**	510-286-5636
	Subhash Agarwal	510-286-5674
	Celia McCuaig	510-286-5659
District 5	**Gary Ruggerone**	805-549-
District 6	**Lynn Riley**	209-445-6819
District 7	**George Ghebranious**	213-897-0693
District 8	**Tony Louka**	909-383-6385
District 9	**Dave Grah****	916-872-0734
District 10	**Gary Sweeten**	209-948-3811
District 11	**Richard Grob**	619-688-3377
District 12	**Reza Aurasteh**	714-724-2738

APPENDIX C – MONTHLY TRACKING REPORT INSTRUCTIONS AND FORM

The Contractor shall report all Task Order expenditures on a monthly basis using the attached Monthly Tracking Report (MTR), as required under contract Article IV.B. The MTR shall detail expenditures for each Task Order by expenditure authorization (EA) from the date of Task Order award through the last calendar day of the prior month, for the duration of the contract regardless of whether the Task Order is on-going or completed.

The MTR shall be submitted to the Contract Administrator no later than the seventh calendar day of each month. Failure to submit the MTR may result in suspension of the Contractor from consideration for additional Task Orders. The MTR shall be submitted via fax to (916) 653-5927, att: Steve Dondero; e-mail to steve_dondero@dot.ca.gov; or by snail mail to P.O. Box 942874, MS 27, Sacramento CA, 94274-0001.

Blank and example forms are attached. Subsequent versions of the MTR, with updated instructions, may be developed. The Contractor shall use the most recent version of the MTR as directed by the Contract Administrator.

Task Order ID: The ID is based on a *district - EA - suffix* designation. For example, task order 12-456790-DV is a Task Order for District 12, where the project EA is 456790, and the unique suffix for accounting purposes is "DV". [Note: If the Task Order has multiple EAs, the EA for the purposes of Task Order identification is the EA with the majority of the funding.]

EA: Report each EA on a separate line.

Total Task Order Amount (Col A): The total dollar amount of the Task Order, including all supplements.

EA $ Encumbered: The total dollar amount of each EA, as stated in the Task Order and all supplements. The EA subtotals should equal the task order total in column A.

Total $ Paid to Date (Col B): The total dollar amount of invoices for which the Consultant has received payment.

Invoices Submitted (But Not Paid) and Work Performed But Not Billed (Col C): Enter the total dollar amount of outstanding invoices, plus the dollar amount of all work performed but not yet invoiced.

Remaining Estimated Work to be done between now and the end of the Fiscal Year (Col E): (Note: The fiscal year is from July 1 to June 30 in each year.) If the Task Order is completed and all invoices have been paid, then Col E and Col C are "$0". If the Task Order is completed and there are outstanding invoices, then Col E is "$0" and Col C states the amount of those outstanding invoices. If the Task Order is on-going, then Col E is the difference between the encumbered amount for the EA and Col D.

APPENDIX D - HOW A TASK ORDER IS DEVELOPED, STEP-BY-STEP

1. The Caltrans Contract Manager (District):
   - Prepares the work scope, in consultation with the Noise, Air and Hazardous Waste Management Office (HWMO) as needed
   - Determine the bid items and quantities needed
   - Determine the low bidder via the BCS
   - Discusses the task order work scope with Contractor
   - Request a bid quote on any Extra Work

     *If, during discussion with the Contractor, different quantities or kinds of bid items are determined necessary to complete the work scope, the Contract Manager will rerun the BCS. [Note: A scope change may result in the BCS calculating a different Contractor as being the low bidder**. The low bidder must always be allowed the first opportunity to accept or decline a task order**.]*
   - Offers the task order to low-bid Contractor. The package includes the:
     1. Task order work scope
     2. Draft completion schedule
     3. Copy of BCS showing itemized costs
     4. Copy of the Acceptance/Refusal Document (ARD)
2. If the Contractor accepts the task order, the package must include:
   - A transmittal letter from the Contractor signed by the Contractor's Project Manager accepting the task order and its work scope, and including a written bid quote for any Extra Work that may be part of the task order.
   - Signed ARD
   - List of subcontractors to be used in the task order.
3. The District send a complete task order package to HWMO. The package includes:
   - Signed and complete Task Order Control Sheet (TOCS)
   - Copy of final task order
   - Copy of ARD, signed by both the Contractor and the Contract Manager
   - List of subcontractors to be used in the task order.
   - Copy of transmittal letter from the Contractor accepting the task order and its work scope, and a written bid for any Extra Work that may be included in the task order.
   - Copy of the draft completion schedule
   - Copy of BCS showing itemized costs
4. The HWMO approves the TOCS and faxes it to the Accounting Service Center (ASC) for authorization and encumbrance of funds. Unless otherwise stated by the Contract Administrator, the task order is not approved, and work cannot proceed until and unless the TOCS is signed by Accounting. HWMO returns a copy of the approved TOCS to the Contract Manager.

5. The Contract Manager and Contractor hold a pre-work conference/site visit to:
   - Resolve questions
   - Agree to final completion schedule.
   - The Contract Manager and Contractor sign the completion schedule.
6. The District issues the "Notice to Proceed with Investigative Work" to Contractor, and sends a copy of same, along with the final completion schedule to HWMO.
7. Contractor starts work.
8. If the Contractor finds a reason to change the work scope, they notify the District. If District determines that a change in the work scope is warranted, the District develops a supplemental task order. This includes a recalculation of the work scope costs using the BCS. The District sends the Supplemental task order to HWMO. The package includes:
   - Memo detailing the work scope modifications, including revised completion schedule.
   - Copy of BCS showing revised costs.
   - New TOCS.
9. The HWMO processes the supplemental task order to the ASC and returns the approved supplemental TOCS to the Contract Manager.

APPENDIX E - TASK ORDER ACCEPTANCE/REFUSAL DOCUMENT (ARD)

TO: CALTRANS DISTRICT #___, _______________________ (Contract Manager)

FROM: ______________________________ (Contractor)

SUBJECT: Task Order #____ - ______________ - _________, as per SA43A0012

This task order offer was received on ________________ (date)

Having reviewed the task order, this firm elects to:

(initial one)

_______ accept the task order. I further certify that _________________ (Contractor) is in full compliance with Article XVIII - LIABILITY INSURANCE PROVISIONS, of the contract. If a current copy of the Certificate of Liability Insurance is not on file with the Contract Administrator, I understand that this task order may be terminated.

________ refuse the task order.

SIGNED

_______________________ ___________________________

CONTRACTOR'S AUTHORIZED REPRESENTATIVE (Print Name)

I confirm that this task order has been accepted _______, refused _____ by the contracting firm as indicated above.

SIGNED

_______________________ ________________________

CONTRACT MANAGER (Date)

APPENDIX F - PROCEDURES FOR ADDING A SUBCONTRACTOR

Subcontractors must be approved by the Contract Administrator prior to performing any work for any Contractor on any Task Order under this agreement.

All new subcontractors must meet the same level of documentation provided for subcontractors in the Contractor's bid package.

To add a new subcontractor, the Contractor must submit the following information to the Contract Administrator:

1. A letter of explanation justifying the addition of the subcontractor. Refer to contract Article XVI.
2. ~~A revised organizational chart for the Contractor's new team~~. (deleted)
3. A Contractor Certification and Evaluation Form signed by the Contractor (see following page).
4. A Subcontractors Qualifications Statement. Provide the information in the format consistent with the original bid package. Include resumes of key subcontractor staff, and copies of valid registrations and certifications. Document that the subcontractor has completed five separate projects within the last three years for work within the area of expertise to be provided. Use of the SF255 format is strongly encouraged.
5. A copy of the Caltrans DBE certification (if appropriate).
6. A copy of the California Department of Health Services Environmental Laboratory Accreditation Program (ELAP) List of Approved Fields of Testing and Analytes, and current Environmental Laboratory Certification (if the subcontractor is a laboratory).

Send these documents to Steve Dondero, Environmental Program, MS-27, P.O. Box 942874, Sacramento, CA 94274-0001. A written reply will follow to the Contractor accepting or denying the modification to the Contractor's team.

Note: The addition of a non-DBE subcontractor which performs the same type of work as a currently-approved DBE subcontractor must not adversely affect the Contractor's 10% DBE goal.

CONTRACTOR CERTIFICATION FORM FOR
ADDITIONAL QUALIFIED SUBCONTRACTORS

Subcontractor Name____

Specialty____

I certify that the above named subcontractor is qualified to perform work in their specialty and the information contained in their subcontractor qualification statement is true and correct to the best of my knowledge.

____

Authorized signature (Contractor) Date

____

Print name and title

____

Name of Contractor firm

Included:

- ☐ ~~Revised Organizational chart~~ (deleted)
- ☐ Transmittal letter justifying addition of new subcontractor
- ☐ SF255 for subcontractor
- ☐ DBE Certification (if appropriate)
- ☐ ELAP (if appropriate)

APPENDIX G - SAMPLE PREWORK SITE VISIT CHECKLIST

TASK ORDER ______________________

This checklist must be completed by the Contractor, subcontractor(s) and Contract Manager during the pre-work site visit.

01 Contact Identified

Owner Name ______________________________ Phone ___________________

Operator Name ______________________________ Phone # ___________________

Backup Name ______________________________ Phone # ___________________

02 Health and Safety Plan ____

Emergency Information included

Fire Dept. Phone ________________________ Fire & Rescue Phone ___________

Nearest Hospital ________________________ Route Known ______________

03 Identify Site Locations/Boundaries

Entry Access/Hours of Access/Parking Understood ____________________________

04 Underground Utilities Marked _________ By Whom __________________________

Understood When _________ Inquiry ID __________________________

05 Drill Sites Marked/Understood ____

06 Cutting Storage ____

07 Equipment Storage ____

08 Equipment Clearance ____

09 Water/Power Supply ____

10 Equipment Cleaning Site ____

11 Additions to this check list -

By Contractor ____

By Subcontractor ____

By Contract Manager ____

By Owner/Operator ____

12 Additional Items to be Resolved ____

____

____

13 Worker/Public Safety Addressed ____

____

This pre-work site visit was conducted on _____/_____/_____

Signature of Contractor or designee ____

Signature of Contract Manager or designee ____

APPENDIX H - SAMPLE COMPLETION SCHEDULE

Task Order ________________________ Contract 43A0012

ITEM	ELEMENT DESCRIPTION	DELIVERY DATE	PENALTY
1.	Receive Task Order	__________________	
2.	Return Task Order	__________________	
3.	Prework Site Visit	__________________	
4.	Return Checklist	__________________	
5.	Return Schedule and Provide Safety Plan	__________________	
6.	Prework Conference	__________________	
7.	Start Work	__________________	
8.	Complete Sampling* (and repair/cleanup work site)	__________________	$50/day
9.	Draft Report	__________________	
10.	Caltrans Review	__________________	
11.	Final Report*	__________________	$50/day

* Denotes key element of Completion Schedule with liquidated damages penalty of $50.00/day.

We concur with this Completion Schedule on date ____________________.

SIGNED

____

CONTRACTOR (or designee)

____

CONTRACT MANAGER (or designee)

____

OWNER/OPERATOR (optional)

APPENDIX I - SAMPLE NOTICE TO PROCEED WITH INVESTIGATIVE WORK

Contract 43A0012 Task Order ______________________________

This Notice To Proceed with investigative work signifies the successful resolution of all concerns and issues relative to the completion of the work described in this Task Order at the conclusion of the prework conference.

The Contractor may not proceed with investigative work under this Task Order until this document has been signed by both the Contractor and the Contract Manager pursuant to the following statement:

STATEMENT BY THE CONTRACTOR OR THE CONTRACTOR'S DESIGNEE

I have read and I understand the purpose, intent, terms and conditions of this Task Order and I have reviewed this Task Order with the Contract Manager.

I will meet the delivery days for key elements of the completion schedule, unless revised by mutual agreement, or pay the agree-to liquidated damages.

______________________________ ______________________________

Signature and Title of the Contractor Date Signed

(or designee)

STATEMENT BY THE CONTRACT MANAGER OR DESIGNEE

I have reviewed this Task Order with the above-named Contractor or designee and I have escorted the Contractor or designee on a prework site visit.

Therefore, I hereby authorize the Contractor to proceed with the work described in this Task Order.

______________________________ ______________________________

Signature and Title of the Contract Manager Date Signed

APPENDIX J - CONTRACTOR INVOICE CHECKLIST

An invoice may apply to a single contract and task order only.

For task orders with multiple EAs, the invoice must separate charges related to each EA.

One (1) original and three (3) copies (including extra work invoices) of each invoice must be submitted.

The following items must be on the invoice in order to be processed for payment:

1. Vendor Identification - must be one of the following:
   - The Contractor's Company Name and Address as it appears on the Standard Agreement signature block.

   OR

   - The Contractor's representative may sign a signature block as Principal of the Company, at the bottom of the invoice.
2. The Contract Number, Task Order Number, invoice number and date.
3. A statement of the amount paid to Disadvantage Business Enterprises (DBE) during the payment period.
4. The dates on which the service was performed (Beginning and Ending).
5. Itemized services and materials and corresponding bid item numbers and hourly rates/charges. Applicable taxes may appear as a single charge. These must be itemized and segregated by EA if charging to multiple EAs.
6. Copies of monthly progress reports.
7. State "FINAL INVOICE" and "HAZARDOUS WASTE" if the invoice is for all (remaining) charges for the task order.
8. State the words "PROGRESS INVOICE" and "HAZARDOUS WASTE" if the invoice is for partial payment.
9. If the vendor is a Small Business, the "Small Business Stamp" should be applied to the invoice. This will ensure payment according to Small Business Regulations.

APPENDIX K – CONTRACTOR'S BID PRICES

See spreadsheet